

RESPONSE TO MISSING  
PARTS  
10/7/1999

Date Mailed: 10/07/99 | Atty/Sec: RRS/jbs | Filing Date: 08/12/99  
Serial No.: 09/373,926 | Docket No.: 3899  
Applicant(s): Ho Ming Luk, Pamela E. Coates, Arati S. Deo, Sean M. Downs,  
Benjamin A. Friesen, Craig A. Nies, Anu K. Pathria  
Title: DETECTION OF INSURANCE PREMIUM FRAUD OR ABUSE USING A PREDICTIVE SOFTWARE  
SYSTEM

Please imprint Patent Office "date stamp" hereon to indicate receipt and then return card to addressee

- |  |  |
|--|--|
| <input type="checkbox"/> ___ pages of Specification, Claims, & Abstract    | <input type="checkbox"/> Amendment/Response                          |
| <input type="checkbox"/> ___ sheets of formal drawings                     | <input type="checkbox"/> PTO-1533 & Resp. to Notice Of Missing Parts |
| <input type="checkbox"/> Provisional Application Cover Sheet               | <input type="checkbox"/> Request to Correct Filing Receipt           |
| <input checked="" type="checkbox"/> Transmittal Form                       | <input type="checkbox"/> Request to Correct Assignment               |
| <input checked="" type="checkbox"/> Fee Transmittal                        | <input type="checkbox"/> IDS, PTO-1449, and cited references         |
| <input checked="" type="checkbox"/> PTO-1595 and Assignment                | <input type="checkbox"/> Issue Fee Transmittal                       |
| <input type="checkbox"/> Filing Receipt                                    | <input type="checkbox"/> Letter to Chief Draftsperson                |
| <input type="checkbox"/> Small Entity Statement                            | <input type="checkbox"/> Maintenance Fee Payment                     |
| <input type="checkbox"/> New Design Application Transmittal                | <input type="checkbox"/> Request for Certificate of Correction       |
| <input type="checkbox"/> CPA Request Transmittal                           | <input type="checkbox"/> Notice of Appeal                            |
| <input checked="" type="checkbox"/> Check in the amount of \$ <u>40.00</u> | <input type="checkbox"/> Express Mail No. <u>00</u>                  |

<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence during pendency of filed application)</i>	0001/PTO Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	Application Number	09/373,926
			Filing Date	August 12, 1999
			First Named Inventor	Ho Ming Luk
			Group Art Unit Number	2763
			Examiner Name	Unknown
Total Number of Pages in This Submission		7	Attorney Docket Number	3899

ENCLOSURES (check all that apply)	
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Check Enclosed	<input type="checkbox"/> Issue Fee Transmittal
<input checked="" type="checkbox"/> Return Receipt Postcard	<input type="checkbox"/> Letter to Chief Draftsperson
<input checked="" type="checkbox"/> Response to Notice to File Missing Parts	<input type="checkbox"/> Formal Drawing(s): [ ] Sheet(s) of Figure(s) [ ]
<input type="checkbox"/> Assignment & Recordation Cover Sheet	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Declaration	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Small Entity Statement	<input type="checkbox"/> Certified Copy of Priority Document(s)
<input type="checkbox"/> Information Disclosure Statement & PTO-1449 <input type="checkbox"/> Copies of IDS Cited References	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Request for Corrected Filing Receipt	<input type="checkbox"/>
<input type="checkbox"/> Request for Correction of Recorded Assignment	<input type="checkbox"/>
<input type="checkbox"/> Amendment/Response: [ ] Page(s) <input type="checkbox"/> After Final	<input type="checkbox"/>
<input type="checkbox"/> Status Request	<input type="checkbox"/>
<input type="checkbox"/> Revocation and Power of Attorney	<input type="checkbox"/>

REMARKS:

**SIGNATURE OF ATTORNEY OR AGENT**

Signature: Robert R. Sachs  
Attorney/Reg. No.: Robert R. Sachs, Registration No. 42,120 Dated: October 7, 1999

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States Postal Service as first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date shown below. If the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service pursuant to 37 CFR 1.10.

Signature: Robert R. Sachs  
Typed or Printed Name: Robert R. Sachs Dated: October 7, 1999  
Express Mail Mailing Number (optional):

0002/PTO(modified) Rev. 10/95	U.S. Department of Commerce Patent and Trademark Office	<b>Complete if Known</b>
<b>FEE TRANSMITTAL</b>		Application Number <b>09/373,926</b>
		Filing Date <b>August 12, 1999</b>
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		Group Art Unit <b>2763</b>
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		Attorney Docket Number <b>3899</b>
<b>TOTAL AMOUNT OF PAYMENT</b> Subtotal (1) + Subtotal (2) + Subtotal (3) = <b>(\$2,072.00)</b>		

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																												
<b>1. The Commissioner is hereby authorized to:</b>  <input type="checkbox"/> Charge the indicated fees to the below mentioned deposit account.  <input type="checkbox"/> Charge any additional fee required under 37 CFR 1.16 - 1.21 or credit any over payments to the below mentioned deposit account. <sup>1</sup>  <input type="checkbox"/> Charge the Issue Fee set in 37 CFR 1.18 at the Mailing of the Notice of Allowance, 37 CFR 1.311(b) to the below mentioned deposit account.  Deposit Account Number: 19-2555 Deposit Account Name: FENWICK & WEST LLP  A Duplicate Copy of this authorization is attached  <b>2. <input checked="" type="checkbox"/> Payment Enclosed:</b> <input checked="" type="checkbox"/> Check <input type="checkbox"/> Other	<b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code/Fee</th> <th>Small Entity Fee Code/Fee</th> <th>Fee Description</th> <th>Fee Due</th> </tr> </thead> <tbody> <tr> <td>105/\$130</td> <td>205/\$85</td> <td>Surcharge - late filing fee or oath</td> <td><b>130</b></td> </tr> <tr> <td>127/\$50</td> <td>227/\$25</td> <td>Surcharge-late provisional filing fee or cover sheet</td> <td></td> </tr> <tr> <td>147/\$2,520</td> <td>147/\$2,520</td> <td>For filing a request for reexamination</td> <td></td> </tr> <tr> <td>115/\$110</td> <td>215/\$55</td> <td>Extension for response within first month<sup>1</sup></td> <td></td> </tr> <tr> <td>116/\$380</td> <td>216/\$190</td> <td>Extension for response within second month<sup>1</sup></td> <td></td> </tr> <tr> <td>117/\$870</td> <td>217/\$435</td> <td>Extension for response within third month<sup>1</sup></td> <td></td> </tr> <tr> <td>118/\$1,360</td> <td>218/\$680</td> <td>Extension for response within fourth month<sup>1</sup></td> <td></td> </tr> <tr> <td>128/\$1,850</td> <td>228/\$925</td> <td>Extension for response within fifth month<sup>1</sup></td> <td></td> </tr> <tr> <td>119/\$300</td> <td>219/\$150</td> <td>Notice of Appeal</td> <td></td> </tr> <tr> <td>141/\$1,210</td> <td>241/\$605</td> <td>Petition to revive unintentionally abandoned application</td> <td></td> </tr> <tr> <td>142/\$1,210</td> <td>242/\$605</td> <td>Utility Issue Fee (Or Reissue)</td> <td></td> </tr> <tr> <td>143/\$430</td> <td>243/\$215</td> <td>Design Issue Fee</td> <td></td> </tr> <tr> <td>122/\$130</td> <td>122/\$130</td> <td>Petitions to the Commissioner</td> <td></td> </tr> <tr> <td>123/\$50</td> <td>123/\$50</td> <td>Petitions related to provisional applications</td> <td></td> </tr> <tr> <td>126/\$240</td> <td>126/\$240</td> <td>Submission of Information Disclosure Statement</td> <td></td> </tr> <tr> <td>581/\$40</td> <td>581/\$40</td> <td>Recording each patent assignment per property (times number of properties)</td> <td></td> </tr> <tr> <td>146/\$760</td> <td>246/\$380</td> <td>Filing a submission after final rejection (37 CFR 1.129(a))</td> <td></td> </tr> <tr> <td>149/\$760</td> <td>249/\$380</td> <td>For each additional invention to be examined (37 CFR 1.129(b))</td> <td></td> </tr> <tr> <td colspan="3">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="3">Other fee (specify):</td> <td></td> </tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (3)</b></td> <td><b>(\$130.00)</b></td> </tr> </tbody> </table>	Large Entity Fee Code/Fee	Small Entity Fee Code/Fee	Fee Description	Fee Due	105/\$130	205/\$85	Surcharge - late filing fee or oath	<b>130</b>	127/\$50	227/\$25	Surcharge-late provisional filing fee or cover sheet		147/\$2,520	147/\$2,520	For filing a request for reexamination		115/\$110	215/\$55	Extension for response within first month <sup>1</sup>		116/\$380	216/\$190	Extension for response within second month <sup>1</sup>		117/\$870	217/\$435	Extension for response within third month <sup>1</sup>		118/\$1,360	218/\$680	Extension for response within fourth month <sup>1</sup>		128/\$1,850	228/\$925	Extension for response within fifth month <sup>1</sup>		119/\$300	219/\$150	Notice of Appeal		141/\$1,210	241/\$605	Petition to revive unintentionally abandoned application		142/\$1,210	242/\$605	Utility Issue Fee (Or Reissue)		143/\$430	243/\$215	Design Issue Fee		122/\$130	122/\$130	Petitions to the Commissioner		123/\$50	123/\$50	Petitions related to provisional applications		126/\$240	126/\$240	Submission of Information Disclosure Statement		581/\$40	581/\$40	Recording each patent assignment per property (times number of properties)		146/\$760	246/\$380	Filing a submission after final rejection (37 CFR 1.129(a))		149/\$760	249/\$380	For each additional invention to be examined (37 CFR 1.129(b))		Other fee (specify):				Other fee (specify):				<b>SUBTOTAL (3)</b>			<b>(\$130.00)</b>				
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<b>SUBMITTED BY</b> Typed or Printed Name <b>Robert R. Sachs</b>  Signature		<b>Complete (if applicable)</b> Reg. Number <b>42,120</b>  Date <b>October 7, 1999</b>																																																																																											

<sup>1</sup> Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby



**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

Address: COMMISSIONER OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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09/373,926 08/12/99 HO MING

L 3899

0212/0831

NOT ASSIGNED

ROBERT R. SACKS, ESQ.  
FENWICK & WEST LLP  
TWO PALO ALTO SQUARE  
PALO ALTO CA 94306

2763

DATE MAILED:

08/31/99

**NOTICE TO FILE MISSING PARTS OF APPLICATION**  
**Filing Date Granted**

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the **SURCHARGE** set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a  
☐ small entity (statement filed) ☒ non-small entity is \$ 760.00.

☒ 1. The statutory basic filing fee is:

- ☐ missing  
☐ insufficient

Applicant must submit \$ 760.00 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

☒ 2. The following additional claims fees are due:

\$ 192.00 for 54 total claims over 20.

\$ 370.00 for 5 independent claims over 3.

\$ \_\_\_\_\_ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

☒ 3. The oath or declaration:

- ☒ is missing or unsigned.  
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47.

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

☐ 9. OTHER:

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

**A copy of this notice MUST be returned with the reply.**

*Robert R. Sacks*